



SHEET 1 OF 5

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE						ATTY. DOCKET NO. MASIMO.056A	APPLICATION NO. 08/834,194
INFORMATION DISCLOSURE STATEMENT BY APPLICANT						APPLICANT Mohamed K. Diab, et al.	
(USE SEVERAL SHEETS IF NECESSARY)						FILING DATE April 14, 1997	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EP		R e 3 5 1 2 2	12/19/95	Corenman et al.			
BT		3 6 4 7 2 9 9	03/07/72	Lavallee			
TR		3 7 0 4 7 0 6	12/05/72	Herczfeld et al.			
SR		4 0 6 3 5 5 1	12/20/77	Sweeney			
SL		4 0 8 6 9 1 5	05/02/78	Kofsky et al.			RECEIVED 05/26/97
TR		4 0 9 5 1 1 7	06/13/78	Nagy			RECEIVED 05/26/97
TR		4 1 2 9 1 2 4	12/12/78	Thalmann			RECEIVED 05/26/97
TR		4 3 0 8 4 5 6	12/29/81	Van Der Gaag et al.			RECEIVED 05/26/97
TR		4 4 0 7 2 9 0	10/04/83	Wilber			
TR		4 5 3 7 2 0 0	08/27/85	Widrow			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO
SL		0 1 0 2 8 1 6	03/14/84	Europe			
SL		0 3 2 9 1 9 6	08/23/89	Europe			
SL		W O 9 4 0 9 6 9 8	05/11/94	PCT			
SL		E P 0 7 4 3 0 4 2	11/20/96	Europe			
SL		E P 0 7 4 4 1 5 4	11/27/96	Europe			

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

<i>SL</i>	A. ✓	Widrow, Bernard et al., Chapter 2: "The Adaptive Linear Combiner", Adaptive Signal Processing, Prentice-Hall, Inc., pp. 15-26, 1985.
<i>SL</i>	B. ✓	Widrow, Bernard et al., Chapter 12: "Adaptive Interference Canceling", Adaptive Signal Processing, Prentice-Hall, Inc., pp. 302-367, 1985.
<i>SL</i>	C. ✓	Tremper, Kevin K. et al., "Pulse Oximetry: Technical Aspects of Machine Design" by Jonas A. Pologe, Advances in Oxygen Monitoring, Little, Brown and Company, 1987, pp. 137-153.

EXAMINER *SL* DATE CONSIDERED *6/8/98*

*EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



SHEET 2 OF 5

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE					ATTY. DOCKET NO.	APPLICATION NO.	
					MASIMO.056A	08/834,194	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					APPLICANT		
(USE SEVERAL SHEETS IF NECESSARY)					Mohamed K. Diab, et al.		
					FILING DATE	GROUP	
					April 14, 1997	Unknown	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>EW</i>		4 6 4 9 5 0 5	03/10/87	Zinser, Jr. et al.			
<i>EW</i>		4 6 6 0 1 5 1	04/21/87	Chipman et al.			
<i>EW</i>		4 7 7 3 4 2 2	09/27/88	Isaacson et al.			
<i>EW</i>		4 7 9 3 3 6 1	12/27/88	DuFault			DC 10/20/88
<i>EW</i>		4 7 9 9 4 9 3	01/24/89	DuFault			
<i>EW</i>		4 8 0 0 4 9 5	01/24/89	Smith			
<i>EW</i>		4 8 0 2 4 8 6	02/07/89	Goodman et al.			DC 02/07/89
<i>EW</i>		4 8 2 4 2 4 2	04/25/89	Frick et al.			
<i>EW</i>		4 8 4 6 1 8 3	07/11/89	Martin			
<i>EW</i>		4 8 4 8 9 0 1	07/18/89	Hood, Jr.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

<i>EW</i>	<input checked="" type="checkbox"/>	Klimasauskas, Casey, "Neural Nets and Noise Filtering" Article, Dr. Dobb's Journal, January 1989, pp. 32-34, 36-38, 42, 47, 49, 96, 98, 100.
<i>EW</i>	<input checked="" type="checkbox"/>	Neuman, Michael R., "Pulse Oximetry: Physical Principles, Technical Realization and Present Limitations", <u>Continuous Transcutaneous Monitoring</u> , Plenum Press, New York, 1987, pp. 135-144.
<i>EW</i>	<input checked="" type="checkbox"/>	Severinghaus, John W. M.D., "Pulse Oximetry Uses and Limitations", ASA Convention 1989, New Orleans.

EXAMINER

EW

DATE CONSIDERED

6/8/98

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FORM PTO-1449

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PATENT AND TRADEMARK OFFICE

SHEET 3 OF 5

INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

ATTY. DOCKET NO.

MASIMO.056A

APPLICATION NO.

08/834,194

APPLICANT

Mohamed K. Diab, et al.

FILING DATE

April 14, 1997

GROUP

Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>W</i>		4 8 5 4 6 9 9	08/08/89	Edgar, Jr.			
<i>T</i>		4 8 5 9 0 5 7	08/22/89	Taylor et al.			
<i>T</i>		4 8 6 0 7 5 9	08/29/89	Kahn et al.			
<i>E</i>		4 8 6 3 2 6 5	09/05/89	Flower et al.			01/24/89
<i>E</i>		4 8 6 7 5 7 1	09/19/89	Frick et al.			01/24/89
<i>S</i>		4 8 6 9 2 5 3	09/26/89	Craig, Jr. et al.			03/08/89
<i>S</i>		4 8 6 9 2 5 4	09/26/89	Stone et al.			03/08/89
<i>S</i>		4 8 8 3 3 5 3	11/28/89	Hausman et al.			
<i>S</i>		4 8 9 2 1 0 1	01/09/90	Cheung et al.			
<i>S</i>		4 9 0 7 5 9 4	03/13/90	Muz			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

<i>G</i>	<input checked="" type="checkbox"/>	Cohen, Arnon Ph.D., "Volume I: Time and Frequency Domains Analysis", Biomedical Signal Processing, CRC Press, Inc., pp. 152-159.					
<i>G</i>	<input checked="" type="checkbox"/>	Harris, Fred et al., "Digital Signal Processing With Efficient Polyphase Recursive All-Pass Filters" Article, Presented at International Conference on Signal Processing Florence, Italy, Sept. 4-6, 1991:					
<i>R</i>	<input checked="" type="checkbox"/>	Rabiner, Lawrence R. et al., "Theory and Approximation of Infinite Impulse Response Digital Filters", Prentice Hall Inc., Englewood Cliffs, NJ, 1975, p. 260.					

EXAMINER

EL

DATE CONSIDERED

6/8/88

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SHEET 4 OF 5

PTO-1449 PATENT & TRADEMARK OFFICE		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE				ATTY. DOCKET NO.	APPLICATION NO.
						MASIMO.056A	08/834,194
		APPLICANT				Mohamed K. Diab, et al.	
		FILING DATE				GROUP	
		April 14, 1997				Unknown	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
✓		4 9 1 1 1 6 7	03/27/90	Corenman et al.			
✓		4 9 2 7 2 6 4	05/22/90	Shiga et al.			
✓		4 9 2 8 6 9 2	05/29/90	Goodman et al.			
✓		4 9 3 4 3 7 2	06/19/90	Corenman et al.			
✓		4 9 4 8 2 4 8	08/14/90	Lehman			
✓		4 9 5 5 3 7 9	09/11/90	Hall			
✓		4 9 5 6 8 6 7	09/11/90	Zurek et al.			
✓		5 0 0 3 9 7 7	04/02/91	Suzuki et al.			
✓		5 0 5 7 6 9 5	10/15/91	Hirao et al.			
✓		5 1 9 0 0 4 7	03/02/93	Odagiri et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

✓	J.	Mook, G.A. et al., "Spectrophotometric determination of oxygen saturation of blood independent of the presence of indocyanine green", <u>Cardiovascular Research</u> , Volume 13, 1979, pp. 233-237.
✓	K.	Melnikof, Steve, "Neural Networks for Signal Processing: A Case Study" Article, <u>Dr. Dobb's Journal</u> , January 1989, pp. 36-37.
✓	L.	Mook, G.A. et al., "Wavelength dependency of the spectrophotometric determination of blood oxygen saturation", <u>Clinical Chemistry Acta</u> , Volume 26, 1969, pp. 170-173.

EXAMINER	DATE CONSIDERED
✓ SL	6/8/98

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FOR MFT 9-34 1951

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SHEET 5 OF 5

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

(USE SEVERAL SHEETS IF NECESSARY)

ATTY. DOCKET NO.

APPLICATION NO.

MASINI

Mohamed K. Diab, et al.

FILING DATE

GROUP

April 14, 1997

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
✓		5	2	7	3	0	3	6	12/28/93	Kronberg et al.	✓	
✓		5	2	9	7	5	4	8	03/29/94	Pologe	✓	
✓		5	3	0	8	9	1	9	05/03/94	Minnich	✓	
✓		5	3	9	8	6	8	0	03/21/95	Polson et al.	✓	
✓		5	4	5	8	1	2	8	10/17/95	Polanyi et al.	✓	
✓		5	4	9	0	5	0	5	02/13/96	Diab et al.	✓	
✓		5	5	1	5	1	6	9	05/07/96	Cargill et al.	✓	500
✓		5	5	8	8	4	2	7	12/31/96	Tien	✓	
✓		5	6	3	2	2	7	2	05/27/97	Diab et al.	✓	

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

S	<input checked="" type="checkbox"/> M. ✓ Brown, David P., "Evaluation of Pulse Oximeters using Theoretical Models and Experimental Studies" Masters Thesis, University of Washington, 1987.
S	<input checked="" type="checkbox"/> J. ✓ Haykin, Simon, <u>Adaptive Filter Theory</u> , Prentice Hall, Englewood Cliffs, NJ, 1985.
S	<input checked="" type="checkbox"/> J. ✓ Widrow, Bernard, <u>Adaptive Signal Processing</u> , Prentice Hall, Englewood Cliffs, NJ, 1985.

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